

## AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers – Authorised Officer Report

Audit Date: 16 September 2015

RTO: Monash Student Association

### REPORT

Applicant Details			
Applicant Name	Monash Student Association	TOID	21526
Address	Level 1, Campus Centre, 21 Chancellors Walk Monash Clayton		
	Website	http://www.monashshortcourses.com	
Registration Contact	Rebecca Redfern		
Phone Number	9902 4287	Email	rebecca.redfern@monash.edu.au
Audit Team			
Audit Firm	N/A	Auditor/s	Julie Florence
Other Attendees	Janet Matheson	Christine Croker	
Registering Body Details			
Contact Person	N/A		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	AO visit for Re-registration		
Conditions Audited	6, 8		
Standards Audited	1.2, 1.3, 1.4, 1.5		
VRQA Guidelines Audited	1.3, 5.1		
Audit Date/s	16 September 2015		
RTO Background			
<p>Monash Student Association (Clayton) Inc is an RTO based at the Clayton campus of Monash University Its offerings are mostly aimed at students and staff. They also offer a range of non-accredited short courses.</p> <p>A full compliance audit was conducted on 15 and 24 October of 2013 in relation to a complaint received in August 2013 regarding the marketing of the TAE40110 Certificate IV in Training and Assessment which was marketed as a music education qualification.</p> <p>The RTO completed all rectifications by June 2014 and was deemed compliant with the AQTF and the VRQA Guidelines</p> <p>Given this the Delegate decided that a full re-registration due in 2015 was not required and an Authorised Officer visit would occur instead to confirm on-going compliance.</p>			



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Qualifications/Units Audited <sup>1</sup>		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
FNS50210	Diploma of Accounting	Clayton Campus
TAE40110	Certificate IV in Training and Assessment	Clayton Campus
SITXFSA101	Use hygienic practices for food handling	Clayton Campus

Interviewee(s) – Staff name and position; employer name and position	
Rebecca Redfern	RTO Director
Angela	Business and Professional Development Officer

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If 'No', please provide amended details below:		

<sup>1</sup> Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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**Audit Summary - AQTF Conditions of Registration**

AQTF Conditions		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation			X
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment		X	
7	Recognition of Qualifications Issued by other RTOs			X
8	Accuracy and Integrity of Marketing		X	
9	Transition to Training Packages/Expiry of Accredited Courses			X
<b>Summary of Non-Compliance<sup>2</sup></b>				
<b>CF.6.1</b> Both the AQF logo and its description were used on the Certificate and SoA. Either one or the other should be used- not both. No AQF information is required on the SoA.				
<b>CF.8.1</b> Monash student association website still makes reference to Certificate IV in Music Training and Assessment Diploma in Music Training and Assessment. The short courses site has been rectified.				
<b>Strengths</b>				

<sup>2</sup> CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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**Audit Summary - AQTF Standards**

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
<b>Standard 1</b>			
1.1 – Continuous Improvement Strategy			X
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies		X	
<b>Standard 2</b>	<b>X</b>		
2.1 – Meeting the Needs of Clients			X
2.2 – Continuous Improvement of Client Services			X
2.3 – Provision of Information to Clients			X
2.4 – Third-Party Engagement in Training and Assessment			X
2.5 – Provision of Support Services to Clients			X
2.6 – Learner Access to Records of Participation			X
2.7 – Complaints and Appeals Strategy			X
<b>Standard 3</b>			
3.1 – Operations Management			X
3.2 – Continuous Improvement of Operations			X
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management			X
<b>Summary of Non-Compliance<sup>3</sup></b>			
<b>SF.1.5.1</b>			
Observation tools need review to clarify tasks being undertaken and the role of the assessor.			
<b>Strengths</b>			
Clustered assessment of relevant units in TAE			

Commented [CLC1]: Julie??

<sup>3</sup> SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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**Audit Summary – VRQA Guidelines for VET Providers**

VRQA Guidelines	Compliant	Non - Compliant	Not audited
<b>1. Governance, Probity and Compliance</b>			<b>X</b>
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems		X	
1.4 – Organisational Governance			X
1.5 – Academic/Educational Governance			X
1.6 – Change Reporting			X
<b>2. Quality Assurance, Review and Evaluation Processes</b>			
2.1 – Course Quality			X
2.2 – Cheating and Plagiarism			X
2.3 – Quality Education and Training			X
<b>3. Student Enrolment Records and Certification</b>			<b>X</b>
3.4 – Provision of Courses to Domestic Students			X
<b>4. Student Learning Outcomes and Welfare Services</b>			
4.1 – Maximum Daily Hours of Attendance			X
4.2 – Out of Hours Attendance			X
4.4 – Student Safety			X
<b>5. Teaching, Learning and Assessment</b>			
5.1 – Capacity to Deliver Scope of Registration		X	X

**Summary of Non-Compliance<sup>4</sup>**

**GF.1.3.1**

No skills matrix provided for ne trainer

**GF.1.5.1**

No model answers or criteria provided for SITXFSA101

**Strengths**

<sup>4</sup> GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.

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Detailed Findings - AQTF Conditions of Registration			
CONDITION 1 - Governance			Not audited
CONDITION 2 - Interactions with the Registering Body			Not audited
CONDITION 3 - Compliance with Legislation			Not audited
CONDITION 4 - Insurance			Not audited
CONDITION 5 - Financial Management			Not audited
CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Non-Compliant
CF.6.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Both the AQF logo and explanatory words are on the certificate- only one is needed.  Both the AQF logo and explanatory words are on the Statement of attainment. No reference to the AQF should be on the SoA.	Certificate and Statement of Attainment	RTO is required to remove from the certificate either the AQF logo or the words " The qualification is recognised within the Australian Qualifications Framework"  Any reference to the AQF should be removed from the Statement of Attainment
CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Not audited
CONDITION 8 - Accuracy and Integrity of Marketing			Non-Compliant
CF.8.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Monash Student Association website still makes reference to Certificate IV in Music Training and Assessment and  Diploma in Music Training and Assessment. <b>The short courses site has been rectified.</b>	Website- Monash Student Association accessed on 21/09/2015	Reference to Music programs needs to be removed from the Monash Student association website
CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses			Not audited

**Detailed Findings - AQTF Standards**

**ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment. Non-Compliant**

**ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry. Compliant**

SF.1.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<b>SITXFSA101 Use hygienic practices for food safety</b> Compliant	TAS- for Unit SITXFSA101- Industry consultation local food outlets 5- industry trends noted in TAS, validation and review Plan to broaden consultation to off-campus businesses. 6 hrs F2F, 6 hours study 2.5 hours assessment Cohort primarily University students 3 trainers named Substantial validation occurred in 2014	No rectification required
	<b>TAE</b> Compliant	TAS for TAE40110- Cohort mainly university workers or students .Detail of how electives were chosen for cohort Delivery is 1 day per week over 10 days Assessment methods in a separate document	
	<b>FNS50210</b> Compliant	TAS for FNS50210 9 units (6 core & 3 electives). Delivered over 19 days (6.5 hours) Total Hours face to face hours 123. Cohort primarily university staff. Cert IV is pre-requisite.	

**Improvement Opportunities**

Include assessment methods in the TAE TAS and improve external industry consultation		
<b>ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</b>		<b>Compliant</b>
<b>SF.1.3.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>
	Staff, facilities and equipment are in place for the units audited	<p><b>SITXFSA101 Use hygienic practices for food safety</b></p> <p><b>Unit mapping</b></p> <p>Resources- workbook, PowerPoint</p> <p>Use of commercial kitchens on campus- not seen because being used by businesses on campus at the time of audit.</p> <p><b>Resources-cutting boards, gloves hand washing liquid and detection lamp ,video, posters food act</b></p>
		No rectifications required



<p><b>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</b>  a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and  b) have the relevant vocational competencies at least to the level being delivered or assessed, and  c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and  d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		<b>Compliant</b>	
SF.1.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Staff files reviewed compliant- qualifications, TAE, Professional development, sufficient proof of vocational competence and currency	<p>Files sighted;  <u>SITXFSA101 Use hygienic practices for food handling</u>  Vicky Gardner</p> <p><u>TAE40110</u>  Anna Mastwyk</p> <p><u>Diploma of Accounting</u>  Adele Hollingsworth- delivers 1 unit- spreadsheets  Nuzi Cader current CPA  Paul Panebianco- 1 unit CPA and currently a tax agent</p>	No rectification required.

Improvement Opportunities
Demonstrating vocational competency- where trainer does not hold the unit- needs to be robust. The e skills matrix used for this purpose would benefit from more detail related to the units.

ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.			Non-Compliant
SF.1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p><b>SITXFSA101 Use hygienic practices for food safety</b></p> <ul style="list-style-type: none"> <li>- The workplace observation checklist has no scenario to support it. It isn't clear what the student is doing and that the activity can support the observation.</li> <li>- No instructions for students as to what activity they are undertaking.</li> <li>- Project information states that it is designed to be undertaken in the workplace. There are no options for students who aren't in the workplace</li> <li>- No model answers/ assessment criteria for written questions – Guideline 5</li> </ul> <p><b>TAE Compliant</b></p>	<p><b>SITXFSA101 Use hygienic practices for food safety</b></p> <p><b>Unit mapping</b></p> <p>Food safety workbook=Participants guide Leader's guide- presenters guide True/false- questions Review topic questions- formative Workplace observation sheet- Written quiz multi choice Project- designed to be completed in the workplace- see trainer for options- 2 student files sighted Enrolment form- completed work-detailed responses</p> <p><b>TAEASS402B Assess competence</b> <b>TAEASS403B Participate in assessment validation</b></p> <p>The units were part of clustered assessment. The units clustered for assessment were clearly documented in a table. Documents reviewed for each unit:</p>	<p>RTO is required to provide a clear indication of what activity is being observed and instruction provided for students. Options need to be provided for students who do not have a workplace.</p>

	<ul style="list-style-type: none"> <li>assessment workbook detailing assessment tasks</li> <li>student workbooks- two students</li> <li>student assessment – two students</li> </ul> <p>Substantial validation took place in 2014. Further validation of assessment processes is occurring during 2015.</p>	
<b>SF.1.5.2 Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
<p>Detail of second finding relating to element 1.5</p> <p><b><u>Diploma of Accounting Non-compliant</u></b></p> <p>The Assessment tools for both units sampled include an observation sheet which covers performance evidence such as communication skills, It skills &amp; organisational skills which are not covered by any other assessments.</p> <p>However the observation sheet is completed and signed by a third party (work place supervisor) and it is not evident that these elements are also observed or verified by the actual assessor for the units who determines competency. It is also not clear how this observation occurs for students who are not working.</p>	<p>Detail of evidence reviewed relating to element 1.5</p> <p>Assessment tools FNSACC503A &amp; FNSACC502B Learner Guides FNSACC503A &amp; FNSACC502B Student Files Kelly Brown – Dip of Accounting Tatiana Borzykh – Diploma of Accounting Anita Conroy - Diploma of Accounting</p>	<p>Details of required rectification relating to element 1.5</p> <p><b><u>Diploma of Accounting</u></b></p> <ul style="list-style-type: none"> <li>Assessment tools and Learner Guides to be revised to clarify the role of the assessor in verifying the observation assessments.</li> </ul>
<b>Improvement Opportunities</b>		
<p>TAEASS402B Assess competence: The assessment seems to be geared to “a candidate” rather than a number of candidates. Two candidates in total are assessed, one of these has been assessed for RPL. Technically two candidates have therefore been assessed. It was suggested that assessment would be improved if more than one candidate was assessed as part of general assessment.</p>		

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.	<b>Not audited</b>
2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.	<b>Not audited</b>
2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.	<b>Not audited</b>
2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.	<b>Not audited</b>
2.5 - Learners receive training, assessment and support services that meet their individual needs.	<b>Not audited</b>
2.6 - Learners have timely access to current and accurate records of their participation and progress.	<b>Not audited</b>
2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	<b>Not audited</b>
3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.	<b>Not audited</b>
3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.	<b>Not audited</b>
3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.	<b>Not audited</b>

3.4 - The RTO manages records to ensure their accuracy and integrity.	Not audited
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Detailed Findings – VRQA Guidelines for VET Providers		
GUIDELINE 1.1 - The provider must present a current strategic plan and a detailed business plan which have been approved by its governing body.		Not audited
GUIDELINE 1.2 - The provider must demonstrate its financial viability and its capacity to sustain quality VET operations into the future.		Not Audited
GUIDELINE 1.3 - The provider must provide information about its management systems.		Non-Compliant
GF.1.3.1	Finding	Evidence/Documentation Reviewed
	No skills matrix provided for Vicky Gardner	Vicki Gardner is required to provide a skills matrix
GUIDELINE 1.4 - The provider must have appropriate governance structures in place.		Not audited
GUIDELINE 1.5 - Consistent with its overall governance arrangements the provider must have appropriate academic/educational governance arrangements.		Not audited
GUIDELINE 1.6 - The provider must report significant changes in its control, management or operations to VRQA and other regulatory agencies.		Not audited
GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.		Not audited
GUIDELINE 2.2 - The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices.		Not audited
GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students		Not audited
GUIDELINE 3.4 - For provision of courses to domestic students (students who do not hold Student Visas) a provider who is not exempt under the provisions of any Ministerial Direction, Order, Regulation or Act must:		Not audited
<ul style="list-style-type: none"> <li>• be a member of a Tuition Assurance Scheme for domestic students or</li> <li>• obtain appropriate tuition fee insurance, or bank guarantee sufficient to meet refund of fees paid in advance or</li> </ul>		

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• only accept student tuition payments in arrears.			<b>Not audited</b>
GUIDELINE 4.1 - A provider must not require or permit students to attend scheduled classes (including time allocated for self-paced or online studies) for more than eight hours in any one day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, specifying different maximum hours for that course).			
GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).			
GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.			
GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.			<b>Non-Compliant</b>
<b>GF.5.1.1</b>	<b>Finding</b>	<b>Evidence/Documentation Reviewed</b>	<b>Required Rectification(s)</b>
	SITXFSA101 Use hygienic practices for food safety No model answers/ assessment criteria for written questions		RTO must provide model answers for all written assessment